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3711

PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/868,669
Filing Date	September 26, 2001
First Named Inventor	Bertrand, et. al.
Group Art Unit	3711
Examiner Name	Unassigned
Total Number of Pages in This Submission	4
Attorney Docket Number	05222.00173

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## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
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<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Preliminary Amendment Certificate of Express Mail Return Receipt Requested
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
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	Remarks	
		The Commissioner is authorized to charge any fees in connection with this correspondence to Deposit Account No. 19-0733. A duplicate of this sheet is enclosed.
		Express Mail No. EL 967198628 US

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Kenneth F. Smolik Banner & Witcoff, Ltd.
Signature	
Date	October 28, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



**CERTIFICATE OF EXPRESS MAIL  
(PATENT)**

Attorney Docket No. 05222.00173

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I hereby certify that the attached correspondence, identified below, is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" under 37 CFR §1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, DC 20231.

By: X RJd

Bertrand, et. al., U.S. Patent Application No. 09/868,669 for "**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A GOAL BASED SYSTEM UTILIZING A SPREADSHEET AND TABLE BASED ARCHITECTURE**"

- Transmittal Form (in duplicate)
- Preliminary Amendment (1 page)
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#169  
11-05-02  
E. Hall

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 05222.00173)

In re U.S. Patent Application of Bertrand,  
et. al. )

Application No. 09/868,669 ) Examiner: Unassigned

Filed: September 26, 2001 ) Group Art Unit: 3711

For: A ~~SYSTEM, METHOD AND ARTICLE~~  
OF MANUFACTURE FOR A GOAL  
BASED SYSTEM UTILIZING A  
SPREADSHEET AND TABLE BASED  
ARCHITECTURE )

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

This Preliminary Amendment is being filed prior to examination. It is believed that no fee is due in connection with this filing. However, if a fee is due, the Commissioner is authorized to charge such fee to Deposit Account No. 19-0733.

Prior to examining the above-identified application, please amend the application as follows:

IN THE TITLE:

Please change the title to "A GOAL BASED SYSTEM UTILIZING A SPREADSHEET AND TABLE BASED ARCHITECTURE".

REMARKS

The Applicant submits the change in title in order to be more succinct.

Respectfully submitted,

Kenneth F. Smolik

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Date: October 28, 2002